

STATE TREASURER'S OFFICE



Debt Management System II

Communication Management Plan

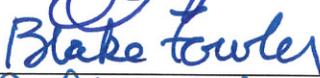
Version 1.0

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Approval Signatures

Communication Management Plan Acceptance			
<p><i>The undersigned acknowledge that they have reviewed the DMS II Communication Management Plan. The signatories also have an understanding of the purpose and content of this document and agree that this Communication Management Plan is sufficient to allow the project to move forward. The Project Manager is hereby authorized to apply organizational resources to project activities associated with this Communication Management Plan.</i></p>			
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Document Revision History

Revision Number	Date of Release	Author	Summary of Changes
.0	4/10/2015	Maisha Dottery	Initial document developed
.1	4/2/2015	Maisha Dottery	Initial draft forwarded to the Project Executive for review
1.0	5/6/2015	Maisha Dottery	Review comments incorporated, document finalized and routed for approval.

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1 Introduction

The purpose of the Communication Management Plan (CMP) (hereafter referred to as plan or CMP) is to identify the approach for communications on the Debt Management System II (DMS) project (hereafter referred to as DMS II). This plan provides a framework for the development and exchange of relevant project information within and outside the project, focusing on formal communication events. It also identifies the project team's roles and responsibilities as well as the tools used to manage communications.

Successful projects are achieved through a combination of clearly defined scope, timely decisions, and effective actions. Keeping all stakeholders and DMS II Project team members fully informed and working towards shared objectives is a challenge that can only be met by a set of creative, yet practical, communications strategies. When formed into policy and action, these strategies become the project's CMP. To achieve completion and ultimate success, this plan addresses activities throughout the DMS II Project lifecycle.

As with any project change initiative, effective communication is critical. Ineffective communication during a time of potential wide-scale change often leads to internal and external stakeholders feeling uninformed, uninvolved, powerless, unreceptive, and unwilling to change. Conversely, effective communication engages stakeholders in the project change process by providing them with clear understanding of the purposes, goals, and status of the change initiative. It also provides end-users and the State Treasurer's Office (STO), a focused vision to be achieved because of the successful project implementation.

Communicating with stakeholders throughout the life of the DMS II Project is vital to the success of the project. Its leaders and audiences must be aligned to the vision and project approach. Hence, the communications must be designed and delivered in a manner that is meaningful to each targeted audience to achieve understanding, support, and commitment for the DMS II Project vision among all stakeholders.

1.1 Document Maintenance

This document will be reviewed annually at a minimum and updated if needed. This document contains a revision history log. When changes occur, the version number will be updated to the next increment and the date, owner making the change, and change description will be recorded in the revision history log of the document.

1.2 Purpose

The CMP documents the formal communication processes of the DMS II Project. This CMP describes the specific framework for sharing information in a timely manner with all stakeholders and is developed to ensure that internal and external stakeholders are informed of the project's goals, objectives, status, schedule, and outputs.

Effective communication is vital to the success of any project, but is critical to the success of a project as large as the DMS II project. Communicating with stakeholders

throughout the life of the DMS II Project is vital to the success of the project. Its leaders and audiences must be aligned to the vision and project approach. Hence, the communications must be designed and delivered in a manner that is meaningful to each targeted audience to achieve understanding, support, and commitment for the DMS II Project vision among all stakeholders.

Given the importance of communication, the CMP will utilize two different industry standards to guide communication delivery. First, the CMP will utilize the *Project Management Body of Knowledge Guide, Fifth Edition* (PMBOK® Guide) to structure project management communication activities. The CMP will directly relate project communication activities to the PMBOK Guide's three phases for Project Communications Management, which includes:

- **Plan** Communication Management,
- **Manage** Communications, and
- **Control** Communications.

The CMP will use the Prosci® ADKAR® model, which is a model for individual change, to structure organizational change management communication activities. The ADKAR® model framework allows the project to target specific outcomes that enable stakeholders to successfully adopt change. At a high level, each letter of ADKAR® relates to a specific outcome, as described below:

- **Awareness** – Understanding the need for the change and the risks of not changing
- **Desire** – Determining the implications of the change (WIIFM=What's In It For Me) and why resistance to the change might occur
- **Knowledge** – Learning the skills and behaviors that will be required for the change
- **Ability** – Demonstrating the skills and behaviors required for the change
- **Reinforcement** – Supporting the change to ensure that it is sustained

The ADKAR model will be tightly integrated with the overall Project phases: Planning and Procurement; Design, Development, & Implementation (DD&I); and Maintenance and Operations (M&O) and will be the core framework for the Organizational Change Management Plan. During the course of the DMS II project, project management and organizational change management communications will be tailored by audience and content based on the current phase of the project to maximize effectiveness.

The CMP provides a foundation for the organization and dissemination of information using a variety of communication methods. Effective and timely communication is extremely important on the DMS II project due to the range of impacted programs, the duration of the project, and the distributed nature of the project stakeholders. For this project to be successful, it is imperative that the appropriate project representative conveys the right message to the correct audience using the appropriate communication method.

1.3 Scope

The CMP is an enterprise-level document that describes roles, responsibilities, approaches, methods and timing of communications surrounding the development, implementation, and operation of the DMS II Project. It describes the processes for project communications, including formal and informal as well as written and oral methods. This plan is specifically directed toward managing communication within and with the DMS II Project Team and DMS II Project Stakeholders.

The CMP defines the processes required to ensure timely and appropriate identification, collection, distribution, storage, retrieval, and disposition of project information to the project team, stakeholders, Project Sponsor, Project Executives, Executive Management Team, and Executive Sponsor. This plan includes:

- Identification of stakeholder communications requirements
- Information collection sources and responsibilities
- Communication distribution channels
- Frequency and recipients of communication
- Assignments for information collection and distribution
- Guidelines for effective and efficient meetings
- Schedule of project team meetings
- Storage, retrieval, and disposition methods
- Roles and responsibilities in the Communication Management Process

1.4 Intended Audience and Document Use

The Project Steering Committee (PSC), Executive Sponsor, Project Sponsor, Executive Management Team (EMT), Project Executives, Project Manager, Team Leads, Project Team members, Subject Matter Experts, and Vendor staff should be familiar with the DMS II Project communication management process and their role in it, as described in this plan.

1.5 Integration with Project Management Processes

The following are Project Management Plans that have a direct impact on project communication.

Deliverable/Work Product	Relationship to Deliverable	Version # and Date
Master Project Management Plan (MPMP)	Governing	Pending
Risk, Issue, Action Item Management Plan	Supporting	Version 1.0 February 2015
Governance Plan	Supporting	Version 2.0 February 2015
Change Control Plan	Supporting	Pending
Organizational Change Management Plan	Supporting	Pending

1.6 Assumptions

The following assumptions relate directly to the CMP expectations. As the DMS II project proceeds, additional assumptions will be identified.

- As of the draft of this CMP, communication activities are already underway.
- Adequate project resources will be available to support communication efforts.
- Tools needed to perform communications activities are available when needed.
- Project Executives and Sponsors will actively and visibly support the project and communication activities.
- During the Design, Development, & Implementation phase, the System Integrator will provide adequate resources to support the increase in project communication activities.

2 Communication Roles, Responsibilities and Organizational Structure

2.1 Roles and Responsibilities

There are various staff resources and stakeholders involved in managing communication for the DMS II Project. Though the DMS II Project and System Integrator (SI) Project Management Office (PMO) Teams own and facilitate the Communication Management Process, the State DMS II PMO has primary decision-making responsibility for project communication. This section describes the participants in the Communication Management Process and their responsibilities.

Project Role	Responsibilities
State DMS II PMO	<ul style="list-style-type: none"> • Own the communication management process for the State • Oversee development of the communication management plan development and revisions • Lead periodic communication management process assessments to identify communication gaps, barriers, or opportunities for improvement, as appropriate • Make recommendations to the State Project Executives, Steering Committee or EMT on opportunities to improve project communication
SI PMO	<ul style="list-style-type: none"> • Actively engage in the communication management process • Work collaboratively with the State Project Manager to ensure that communication gaps or opportunities for improvement are identified, assessed and managed in alignment with the DMS II Project communication management process • Recommend process improvements when necessary
Project Steering Committee (PSC)	<ul style="list-style-type: none"> • Participate in project communication processes as detailed in the DMS II Project CMP • Review escalated communication concerns and provide direction for resolution
Project Executive Sponsor	<ul style="list-style-type: none"> • Champion the project to internal and external stakeholders • Resolve policy issues, outstanding item(s) or other critical issues that cannot be resolved by the PSC • Ensure sustained buy-in at all levels • Keep abreast of project status and issues
Project Sponsor	<ul style="list-style-type: none"> • Actively participate in project communication processes as detailed in the DMS II Project CMP • Participate in escalation process and provide direction for resolution of communication issues • Approve communication processes and plans as appropriate
State Executive Management Team	<ul style="list-style-type: none"> • Actively participate in project communication processes as detailed in the DMS II Project CMP • Review and approve baseline and subsequent revisions to the CMP • Authorize execution of communication remediation plans, as appropriate

Project Role	Responsibilities
State Project Manager	<ul style="list-style-type: none"> • Develop the initial CMP • Actively participate and manage the DMS II Project Communication Management process • Work collaboratively with the State and SI Managers to ensure communication is effective and is in alignment with the Communication Management Process • Review communication Process metrics and feedback • Determine whether to escalate communication related matters, as necessary • Recommend process improvement based on effectiveness of communication process
Project Team	<ul style="list-style-type: none"> • Actively participate in project communication processes as detailed in the DMS II Project CMP • Escalation communication issues using the guidelines outlined in the DMS II Project CMP. • Identify opportunities to improve DMS II Project communication
Project Stakeholder	<ul style="list-style-type: none"> • Monitor communication effectiveness • Actively participate in the communication management process
Independent Verification Validation (IV&V)	<ul style="list-style-type: none"> • Provide project communication oversight (management and technical) and report findings • Actively participate in Meetings • Identify risks related to communication that pose a technical risk to the project or would prevent the project from achieving the stated business, functional or technical desired state • Provide updates to the State Project Directorate (Project Executives, EMT, Project Sponsor, Project Executive Sponsor or Steering Committee) and external stakeholders, as appropriate • Identify opportunities for communication management process improvement • Evaluates the correctness and quality of the project's business product to ensure that it is being developed in accordance with customer requirements and is well engineered.
Independent Project Oversight Consultant (IPOC)	<ul style="list-style-type: none"> • Provide project management oversight and report findings • Identify communication risks that pose a risk to the project or would prevent the project from achieving the business objectives • Provide updates to the State Project Directorate (Project Executives, EMT, Project Sponsor, Project Executive Sponsor or Steering Committee) and external stakeholders, as appropriate • Identify opportunities for communication management process improvement

3 Communication Management Approach

3.1 Project Communications Approach

The DMS II CMP will utilize a combination of Project Management and Organizational Change Management approaches to ensure that communication is appropriately addressed at the various project stages.

3.2 Project Management Framework

Completion of the Plan Communication Management stage, per the PMBOK® Guide, requires the development of a communication management approach. From the Project Management framework, communications will focus on delivering project information to internal and external stakeholders. Communications during the Planning and Procurement phase will provide stakeholders with the overall goals of the project,

the risk of not changing, and the expected outcomes. Progress and/or changes related to schedule and scope will be communicated to all stakeholders to ensure that they can incorporate those updates into their plans and provide input back to the project team. During this phase, a combination of regular reports, meetings, and specifically targeted communications will be utilized to provide project information to selected stakeholders. When confidential project related documentation (e.g., Budget Change Proposals (BCP), Request for Proposal (RFP), and solicitation documentation) is finalized and published as a public document, it will be shared with all impacted stakeholders in a timely manner.

As the project moves to the Design, Development, and Implementation (DD&I) phase, technical project communications will require integration and coordination with the SI team. The SI's approach to design and development will need to be incorporated into the State's CMP activities. This task can occur immediately after the SI has reviewed the existing DMS II Project Management Plans. Stakeholder communications will be more focused by the recipient group type and their specific need for information.

Organizational Change Management Framework

From the Organizational Change Management framework, communications will focus on understanding whether participants in the project have the information required to adopt and sustain the change. Viewing the project through the lens of organizational change management reveals that the DMS II Project Team will participate in three separate changes. The first change involves the onboarding of new staff onto the DMS II project, which will require management for the life of the project as project resources will fluctuate over time. The second change involves the adoption of a change management methodology and will require management as new resources are introduced over the life of the project. For these initial changes, internal stakeholders will require communications to allow them to progress through all five stages of the ADKAR® model (Awareness, Desire, Knowledge, Ability, and Reinforcement).

The larger change, which requires change communication to both internal and external stakeholders, relates directly to the DMS II project. Early project change communications will provide internal and external stakeholders with the information required to build ADKAR® model Awareness and Desire. Based on Organizational Change Management research, stakeholders prefer the following information to be delivered from sponsors or executives at the early stages of a project in order to understand why they should support the change:

- Why the change is needed
- Risks of not changing
- Vision for the future
- Description of how the change will address business problems
- From an individual perspective, "What's In It For Me?" (WIIFM)
- How this change will be different from prior efforts to place the current system

As the project moves from the Procurement phase to the Design, Development, & Implementation phase, change communications will shift to increasing the ADKAR® model Desire, Knowledge, Ability, and Reinforcement of stakeholders.

Communications will become more specific based on the needs of the projects and/or stakeholders. Additionally, communications related to the SI's integration into the project team and changes to existing project team processes will be required to ensure a smooth transition throughout this phase.

As the project progresses to the Maintenance and Operations phase, change communications will shift to increasing the ADKAR® model Reinforcement of stakeholders and managing any outstanding pockets of resistance. Any continuing change communications will need to be absorbed into the day-to-day operations of STO.

3.3 Manage Communication Management Plan and Communications Event Matrix

The second stage of Project Communication Management, based on the PMBOK® Guide, is to Manage Communications. This stage involves implementing the Project Communications Approach to deliver communications. The following deliverables and milestones, located in Table 3.2, are based on estimations at the point in time when this plan was created, and are provided solely for that purpose. After this plan is approved, these deliverables will be incorporated into the project schedule, baselined with that schedule and managed to their actual delivery date under the Project Management Plan, Schedule Management Plan, and Configuration Management Plan.

During the Planning and Procurement phase of the project, the DMS II Project Team will manage and update the CMP and any revisions to the baseline plan. As the Systems Integrator is integrated into the Project Team, the DMS II project will need to determine the degree to which the Systems Integrator will be responsible for CMP updates.

3.4 Monitor and Control Communication Management for continuous improvement.

The DMS II Project PMO and Project Manager will monitor the effectiveness of communications activities and practices throughout the entire project life cycle to ensure the information needs of the project team members and stakeholders are met.

The DMS II Project Manager and PMO will establish metrics for communication in the quality management plan.

The DMS II Project PMO will monitor the project communication activities against the metrics to identify deviations from the desired communication state. The deviations will be tracked, monitored, and controlled until improvement is recognized and communication deviation has improved. If deviations in communication expectations as described in this plan continue to occur, the DMS II Project PMO and the Project Manager will take the necessary steps to remediate the communication gap to ensure continuous improvement in the communication management process.

The CMP and processes will be reviewed regularly throughout the project life cycle and revised as needed to ensure continued applicability.

Planned Deliverables and Milestones		
Phase	Deliverable	Timeframe
Planning and Procurement	Develop CMP	April 2015
	Review and Update CM Plan and Communications Event Matrix	TBD (once SI is selected)
	Review and Update CM Plan and Communications Event Matrix	TBD (once SI is selected)
	Review and Update CM Plan and Communications Event Matrix	TBD (once SI is selected)
Design, Development & Implementation	Review and Update CM Plan and Communications Event Matrix	TBD (multiple updates projected)
	Review and Update CM Plan and Communications Event Matrix	6 months prior to entering M&O phase
Maintenance and Operations	Operationalized CM Plan Activities	3/20/2020

3.5 Measure and Manage Communication Delivery and Feedback

The last stage of Project Communication Management, based on the PMBOK® Guide, is to Control Communications. In addition to defining communication events in the Communications Event Matrix and their respective audience, it is important to track the effectiveness and impact of these communication initiatives in order to ensure that communication is clear, consistent, and effective throughout the life of the DMS II project. The DMS II PMO must proactively seek feedback from the various stakeholders to determine if communication is accessible, timely, sufficient, and meaningful. This includes communication for the Project Management framework, as well as communication from the Organizational Change Management framework of the project.

Periodically, the DMS II PMO will deploy a number of methods to collect communication effectiveness feedback, including:

- Gathering feedback formally and informally at specific communication events, specifically as it relates to communication medium, frequency of communication, audience, and level of communication detail.
- Conducting change surveys of stakeholder groups to measure the level of Awareness, Desire, Knowledge, Ability, and Reinforcement of stakeholders.
- Reviewing incidents that could have been prevented through communications that are more robust.

The DMS II PMO will develop a process to collect, analyze, and ensure that communication feedback is managed over the project phases. The DMS II PMO will also prepare internal recommendations if additional stakeholders should be identified, if additional meetings with stakeholder groups are required, if current meeting timeframes require modification based on the current project phase, and if additional communication vehicles should be used to support communications activities.

3.6 General and Tactical Communication

General tactical status and accompany details for process areas will be provided to project staff during the bi-weekly status meeting. The areas that will be covered as standing agenda items (as appropriate) will be:

- Schedule updates
- Issue and Risk (new and updates)
- Quality update (deviations)
- Cost (updates on deviations from planned)
- Scope (changes)
- Requirements (changes/updates)

As the project, progresses and the need for communication increases the key areas for tactical communication may use another forum to provide updates. If changes occur, the CMP and processes will be updated to align with the method being adopted.

3.7 Communication Management Plan Process Overview

The CMP Process Overview identifies the tactical actions associated with each objective, and how these are aligned to the following standards:

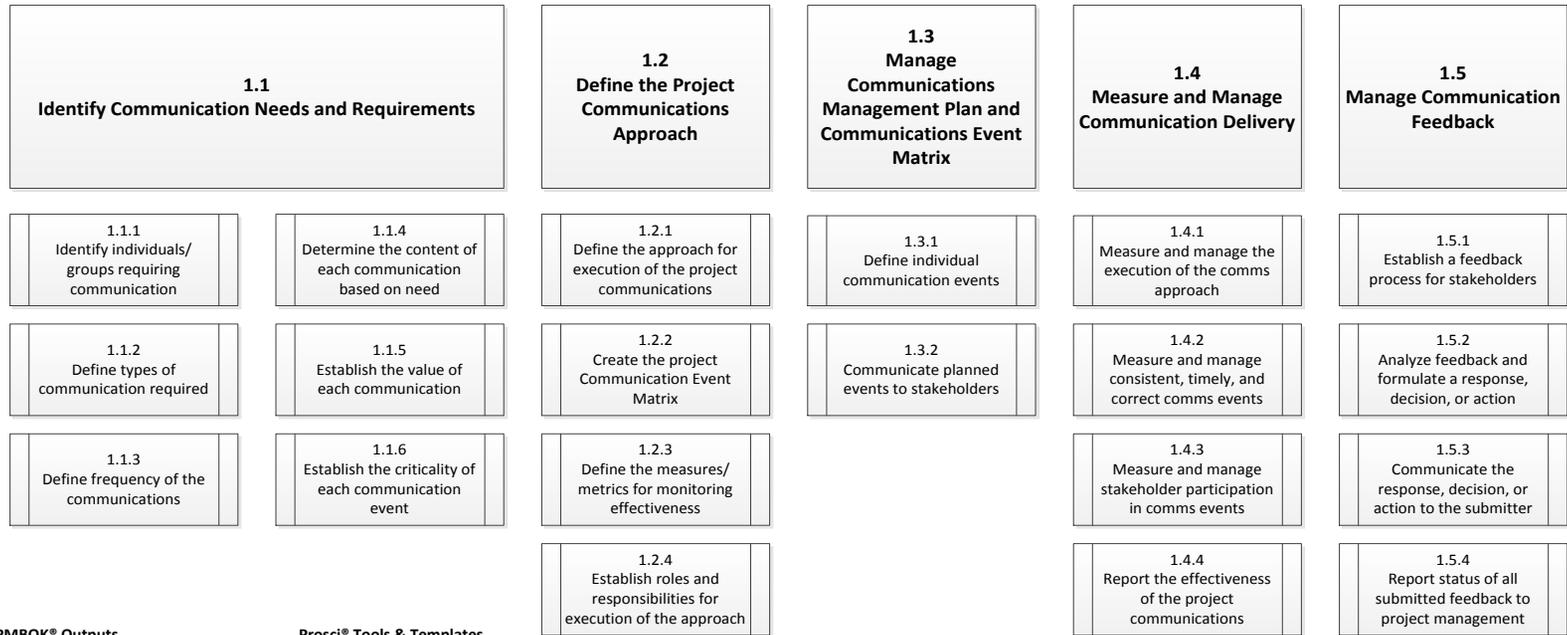
- PMBOK® Communication Management knowledge area processes
- Prosci® Change Management Process phases
- PMBOK® Stakeholder Management knowledge area outputs
- Prosci® Change Management Process tools and templates

Communication Management Plan Process Overview

PMBOK® Project Communications Management Processes

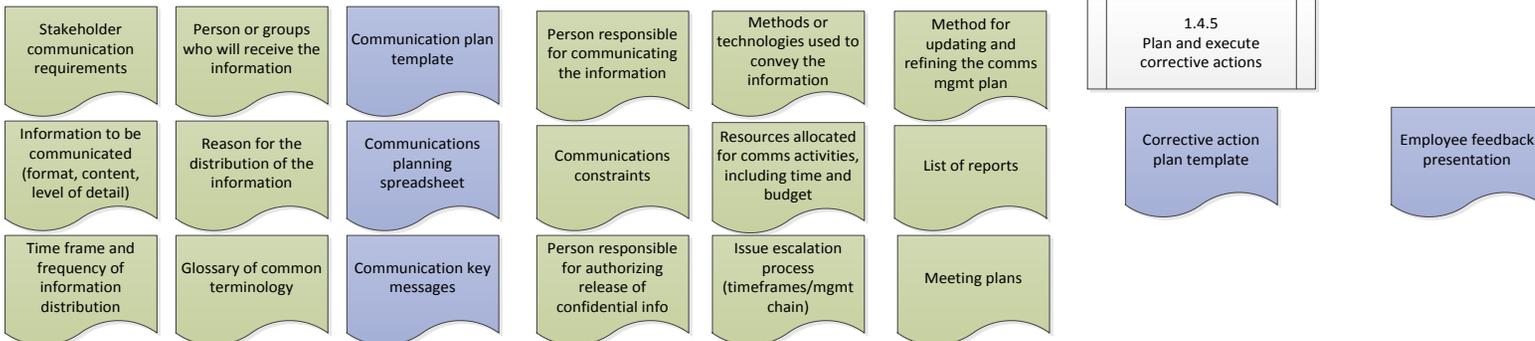


Prosci® Organizational Change Management Process



PMBOK® Outputs

Prosci® Tools & Templates



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4 Monitoring, Control, and Measures

4.1.1 Success Criteria/Measures

The following table identifies the high-level success criteria and measures for the CMP.

Success Criteria Measures			
Phase	Description	Success Criteria	Measure
Planning and Procurement	Define the Project Communications Approach	<ul style="list-style-type: none"> Approach addresses identification, definition, execution, measurement and management of project communications 	<ul style="list-style-type: none"> Process for communication event identification exists Communication events are clearly defined
Planning and Procurement/ Design, Development, & Implementation	Manage Communication Management Plan	<ul style="list-style-type: none"> Measures to determine communication effectiveness are defined, documented and communicated Roles and responsibilities for communications execution are defined, documented and communicated at the individual level 	<ul style="list-style-type: none"> 100% of the measures defined for measuring communications effectiveness have been approved by management and stakeholders Communication activities are reviewed on a regular basis
Planning and Procurement/ Design, Development, & Implementation	Measure and Manage Communication Delivery	<ul style="list-style-type: none"> Communication event execution, participation, reporting and operational adjustments are consistently applied Deviations that cannot be addressed at the project/stakeholder level are escalated for resolution 	<ul style="list-style-type: none"> Project reviews confirm consistent, timely and correct execution of communications events Project reviews confirm consistent, timely and correct execution of communications processes Project reviews confirm that identified stakeholders consistently participate in communication events Process, event or operational adjustments are managed using project issue or change management standards

Success Criteria Measures

Phase	Description	Success Criteria	Measure
Planning and Procurement/ Design, Development, & Implementation	Manage Communication Feedback	<ul style="list-style-type: none">A communication feedback process is provided to the stakeholders in conjunction with each communication event	<ul style="list-style-type: none">100% of the submitted communication feedback is processed within 10 daysA change and/or modification to a communication process and/or event is completed and communicated to the stakeholders by the date identified in the corrective action plan

4.1.2 Reporting

During the course of the DMS II project, a number of reports will be produced by the Project Management Office (PMO), which can be considered inputs to the CM Plan processes. The matrix below shows planned and existing project reports that can be used to provide information to internal and external stakeholders.

Communication Reporting				
Name	Purpose	Frequency	Author and Plan Name for Content	Receiver
Schedule Analysis Report (Pending)	Provides insight on project schedule management and control activities. Used to ensure task performance is within threshold of schedule estimates and assists project management in taking corrective action as needed.	Monthly	DMS II PMO, Schedule Management Plan	DMS II Project
30 Day Look Ahead Report (Pending)	Provides project staff with schedule activities and status for the next 30 calendar days.	Monthly or as needed	Scheduler, Schedule Management Plan	DMS II Project
Overdue Action Items (Pending)	Provides project staff and management an opportunity to provide corrective measures for timely completion of action items.	Semi-Monthly or as needed	Risk Manager, Issue and Action Item Management Plan	DMS II Project
Open Risks Report	Provides project management and stakeholders the status and details of the open risks.	Bi-Weekly/Monthly or as needed	Risk Manager, Risk Management Plan	DMS II Project, ACF, PMDG and PCB Members
Project Update	Provides project team and stakeholders with status of major project activities, including stakeholder engagement activities.	Weekly or as needed	DMS II Project Manager	DS II Project, PFD All, Project Executives
Weekly Project Executive's Report	Establish the project priorities for the week, discuss areas where assistance is required, and identify issues that need immediate attention by the Project Executives	Weekly	Project Manager	DMS II Project
Executive Project Status Report	Inform executive stakeholders the status of various areas of the project.	As Needed	Project Manager	CalTech, CDSS Executives, STO Executives
Organizational Readiness Report	This comprehensive, structured, and cyclical assessment examines the scope, depth, and overall size of the change. This assessment will help the DMS II Project implement change strategically, dynamically and ultimately more successfully.	Initial Quarterly	Project Manager DMS II Project Management Office	Executive Management Team (EMT) Project Executives Project Sponsors

Communication Reporting

Name	Purpose	Frequency	Author and Plan Name for Content	Receiver
Actual Expenditure Report	Provides project management with status comparison of actual and projected actual expenditure to budget to ensure the cost performance will be within budget. Assists management in taking corrective action when needed.	Monthly	DMS II PMO Cost Manager Cost Management Plan	DMS II PMO Oversight (IPOC and IV&V)
IV&V Monthly Monitoring Report	Provides management with an independent perspective on project activities and promotes early detection of project/product variances.	Monthly	IV&V Vendor	Project Manager Executive Management Team (EMT) Project Executives
Independent Project Oversight Report (IPOR)	Provides progress of the project per CalTech guidelines.	Monthly	IPOC	Project Manager, Executive Management Team (EMT) Project Executives
Oversight Observation Report	Documents observations from the project oversight vendors (IPOC and IV&V) regarding project activities and documentation.	As Needed	Oversight (IPOC and IV&V)	Project Manager, Executive Management Team (EMT) Project Executives
Project Status Report (PSR)	Provide current project status and accomplishments.	Monthly	Project Manager	CalTech Project Manager, Executive Management Team (EMT) Project Executives
Legislative Briefings	Update of key deliverables and project status	As Requested	Project Executives Project Sponsor Project Manager	Legislature, STO Executives, Project Executives

Over the course of the project, the DMS II Project Team will conduct surveys related to stakeholder change adoption. Stakeholder responses will be captured, analyzed, and reported in relation to the ADKAR[®] model for individual change. Stakeholder results will be compared to expected stakeholder change adoption and the subsequent analysis will allow the Project Team to adjust future communications to ensure that stakeholders are being properly supported.

CMP status updates will initially be reported regularly at DMS II Bi-Weekly Project Team meetings. As the project progresses into the Design, Development, & Implementation phase, communication reporting will become more frequent and dynamic to adjust for the rapid nature of the project work.

5 Tools

The Project Team will use a variety of tools to support the CMP. These tools include:

#	Name of Tool
1.	Action Item Log
2.	Decision Log

5.1 SharePoint (In Development)

The DMS II Project Team anticipates implementing the Microsoft SharePoint (In Development) set of tools to support project activities.

5.2 Microsoft Office

The Project Team will use the various Microsoft Office tools (i.e., Excel, Word, Access, Project, Outlook, PowerPoint, Visio) to develop, draft, and finalize communication products. The Project Team will develop communication templates so that communication messages have a consistent look and feel.

5.3 DMS II Risk Matrix and Issue Log

The DMS II project Risk, Issue and Action Item Matrix (Microsoft Excel) will identify potential risks and realized issues for the DMS II project, including communications and additional stakeholder outreach.

5.4 ADKAR Model

The Prosci® ADKAR® model will be used to gauge the effectiveness of CMP activities. The DMS II PMO will establish a baseline of expected stakeholder change adoption as it relates to specific milestones in the project. The ADKAR scale values range from one (low) to five (high). For example, a sample expected ADKAR adoption table might look like the following (where each value of ADKAR is represented as the average ranking for that Stakeholder group):

Over the course of the project, surveys conducted by the DMS II PMO will gauge stakeholder change adoption as it relates to the expected outcome. Deviations between the expected outcome and the actual outcome will be used to drive future change activities.

6 Meeting Protocols and Best Practices

The project has established a recurring set of meetings that are held to accomplish the majority of communication on project-specific information to various stakeholder groups. Documentation is prepared to capture decisions made, issues discussed, and to identify action items. All meeting related documents can be found in the DMS II document repository. The follow are a set of guidelines for the stakeholders to adhere, which will ensure that the DMS II Project stakeholders meetings are effective and efficient.

- It is critical that we assess if it is more effective to send the updates or information via email prior to scheduling a meeting. If you are unsure, contact the Project Manager for recommendations and options.
- The agenda will contain the purpose of the meeting and topics for discussion.
- All participants will arrive on time and be prepared to contribute to the topics detailed in the meeting agenda.
- All cellular phones and electronic devices will be switched to silent mode during meetings.
- Create a clearly written agenda for every meeting to ensure the team remains on task and on schedule throughout the meeting.
- Agendas should be distributed prior to meetings help ensure team members come to each meeting prepared.
- Minutes, including action items, will be delivered within two-business day after the meeting.
- Only put items on the agenda that need to be addressed in a face-to-face format.
- Ensure that each agenda item has sufficient time for meaningful discussion and problem solving.
- Agendas ideally focus on similarly related items connected to the meeting's purpose. Too many different topics prevent a team from going in-depth on the topic and causes confusions about purpose of the meeting.
- Agenda topic(s) should be broken down into manageable sections for discussion and actions.
- Strategically order the agenda topics to ensure the meeting runs smoothly.
- Include an outcome expectation associated with each agenda item.
- Use a 'parking lot' to facilitate questions or topics that might lead dialogue away from the purpose of the meeting and off the agenda.

6.1 Facilitators Role During the Meeting

The facilitator is a requisite role in effective meeting management. Some of the best practices for a meeting facilitator are described below:

Ensures other roles are assigned

- Gather general input from members prior to creating the agenda via informal conversations, emails, etc.

- Establishes norms and protocols
- Creates agenda
- Distributes the agenda
- Moves the team through each agenda item
- Ensures a due date is assigned for each action-item
- Ensures that the team remains task-oriented
- Keeps team members focused on the team goals
- Promotes open discussion in order to resolve conflicts and develop consensus
- Responsible for resources and materials needed for meeting
- Shares outcome with appropriate leaders and stakeholders

7 Escalation Hierarchy for Issue or Problem Resolution

The DMS II Project team should strive to resolve as many issues and conflicts at the lowest level possible, however, some issues can be serious enough to need attention from the Project Executives, EMT, Project Sponsor or the Executive Sponsor.

Any team member may identify a problem or issue, which they believe, should be a candidate for escalation. When escalating an issue please email the Project Manager and include the following:

- Provide a concise summary of the issue or problem and indicate where any supporting documents or detailed information can be found. Do not assume that the each person on the escalation path has the background information.
- Explicitly state your desired outcome and the date you need a decision or a solution, Make sure you indicate the impact or consequences if the expected action is not taken timely.

7.1 The Escalation Process for Issue or Problem Resolution

Once the Project Manager reviews your issue or problem, the issue will be logged and a resolution to the issue or problem will be assessed. If the Project Manager has the authority to resolve the issue, a remediation plan will be shared with the submitter. If the decision is outside of the project manager's scope of authority the issue or problem will be shared with the Project Executives to resolve the issue or problem. Escalate to an appropriate level in the hierarchy in which there is someone empowered to make the decision or intervene.

The Project Executives are responsible for resolving initial issues brought forward by the Project Manager. If the Project Executives cannot resolve the issue or problem, it will be escalated within 24 hours to the Executive Management Committee (EMT) or Project Steering Committee (PSR) in accordance with the DMS II Governance Plan.

The EMT will follow this process for each issue:

1. Understand the issue and identify all potential impacts.
2. Determine the areas affected such as business processes, data, configuration, infrastructure, etc.
3. Solicit input from committee members for solutions to be considered by the PSC.
4. Assign additional tasks to project manager or EMT members if necessary to investigate alternate solutions and schedule a date for follow-up.
5. Ensure majority of the committee agrees with recommended solution.
6. Request Project Manager to follow-up on closure and provide status at next meeting.
7. If issue remains unresolved, the EMT chairperson will escalate the issue or problem to the PSC as soon as possible, preferably within two business days for decision or resolution.
8. The PSC Chairperson (the Project Sponsor) will communicate the decision reached by the PSC to the Project Manager, EMT, and Project Steering Committee members.

The principal Escalation Model can be found in the DMS II Governance Plan.

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Communications Event Matrix							
Communication Meeting	Date / Frequency / Timing	Initiation Date or Phase	Description	Audience or Attendee	Owner or Chair	Distribution Method	Value/ Criticality
Weekly							
DMS II Project Management Office (PMO) Team Meeting	TBD/ Weekly	Existing and Ongoing	Project Accomplishments, Issues, Plans, Status of the project	DMS II Project Team	Project Manager	Meeting Email	Informational, Status/ High
DMS II Project Management Office (PMO) Executive Update	Thursday/ Weekly	Existing and Ongoing	Project Accomplishments, Issues, Plans, Status of the project	Project Executive (Business) Project Manager Business SME	Project Executive (Business)	Meeting Email	Informational, Status/ High
DMS II Project Management Office (PMO) Executive Update	Wednesday/ Weekly	Existing and Ongoing	Project Accomplishments, Issues, Plans, Status of the project	Project Executive (Technical) Project Manager Technical Lead	Project Executive (Technical)	Meeting Email	Informational, Status/ High
DMS II Project Risk, Issue, Action Item and Decision Review Meeting	Currently incorporated into Bi-Weekly Update	On-Going and Revisited at DD&I	Discuss Project Risk, Issues, Action Items and Key Project Decisions Needed or Made	Project Manager Project Executives (Business and Technical) Oversight (IPOC/IV&V).	DMS II Project PMO	Meeting Email	Informational, Status/Decision High
Bi-Weekly							
DMS II Project Bi-Weekly Status Meeting	2 nd and 4 th Monday of the month	Existing and Ongoing	Project Accomplishments, Issues, Plans, Status of the project.	Project Team Stakeholders (including State and SI management and staff members).	Project Manager	In-Person, Conference Call	Informational, Status, Collaboration/ High

Communications Event Matrix							
Communication Meeting	Date / Frequency / Timing	Initiation Date or Phase	Description	Audience or Attendee	Owner or Chair	Distribution Method	Value/ Criticality
Monthly							
Project Executive Briefing	Third Friday/ Monthly	Existing & Ongoing	Project Accomplishments, Issues, Plans, Status of the project, Information sharing, Executive Level Issue resolution and recommendations.	Executive Sponsor Project Executive (Technical)	Project Manager	In-Person, email, Conference Call	Informational, Status, Collaboration/ High
IV&V Monthly Briefing	Fourth Friday /Monthly	Existing & Ongoing (On Hold)	Project Accomplishments, Issues, Plans, Deliverable Review/Feedback, Status of the project	PM EMT	Project Manager	In-Person, Conference Call	Informational, Status, Collaboration/ High
IPOC and PM Meeting	Last business day of the month/Monthly	Existing and Ongoing	Issues, Plans, Status of the project New Findings, Status Meeting	DMS II Project Team, Legal, Admin	Project Manager	Meeting	Informational, Status/ High
Quarterly							
DMS II Project Steering Committee Meeting	Last week of each quarter	September 2015	Quarterly project status update with upper management	PMO and MRC members	Project Manager, Program Manager, Product Manager	Adobe Connect, Meeting Minutes on SharePoint (In Development)	Informational, Status/ Medium
Annually							
Legislative Hearings	Scheduled by Legislative Committee	Ongoing	Provide update on overall project health	Project Sponsor Project Executives Project Manager	Legislative Staff	Pre-hearings and Hearings	Status/ High

Communications Event Matrix							
Communication Meeting	Date / Frequency / Timing	Initiation Date or Phase	Description	Audience or Attendee	Owner or Chair	Distribution Method	Value/ Criticality
Phase or Event-Driven							
Change Control Board Meetings	Weekly	DD&I	Review change request (impact analysis)	Project Manager Designees per DMS II Governance Plan	Technical Architect SI Technical Staff	In-person meeting	Decision Making Analysis Results Develop Recommendations for EMT
Executive Management Team (EMT) Meeting	As needed	Established and Ongoing	Executive-level issues discussed and solutions addressed	Project Manager, Project Executives (Business and Technical) EMT Members	Project Executives	Email In-Person Conference Call	Collaboration, Decision Making/ High
Design Sessions (JAD Sessions)	Weekly	DD&I	Review change request (impact analysis)	Project Manager	Weekly	DD&I	Review change request (impact analysis)
Lessons Learned Session	As needed (per DMS II Project Schedule)	Established and Ongoing	As key work efforts are completed a lessons learned session would be scheduled to identify opportunities to improve and identify what went well.	Project Team	DMS II PMO	Meeting	Informative/High

Communications Event Matrix							
Communication Meeting	Date / Frequency / Timing	Initiation Date or Phase	Description	Audience or Attendee	Owner or Chair	Distribution Method	Value/ Criticality
Continuous Improvement Reviews	As needed (per DMS II Project Schedule)	Established and Ongoing	As project management activities are executed, the DMS PMO will monitor adherence, document deviations and develop recommendations based on findings.	Project Team	DMS II PMO	Meeting Observation	Informative/High
Organizational Change Management Meeting	August 2015/ Ongoing as needed	Planning and Procurement Phase	Define Change Management and provide tools for Sponsors, Managers, and Staff to use Change Management as part of the project implementation.	DMS II Project Team, Sponsors, Project Executives (Business / Technical)	DMS II PMO (OCM)	In-Person sessions, Conference Call Training Presentation	Instructive/ High
Phase Gate Reviews	As Needed	DD&I	Once the SI is on board key stage gates will be identified in the schedule. Assessments will be performed to determine if the project is on track for success.	DMS II PMO SI PM Staff Oversight (IPOC/IV&V)	DMS II PMO	In-Person sessions	Instructive/ High

Communications Event Matrix							
Communication Meeting	Date / Frequency / Timing	Initiation Date or Phase	Description	Audience or Attendee	Owner or Chair	Distribution Method	Value/ Criticality
Project Orientation Meeting	As staff is on-boarded onto the project	All phases	Acclimate new project staff to the DMS II Project	New staff (SI/State) who are impacted or participate in the DMS II Project Activities	DMS II PMO	Meeting	Instructive/ Informational High
Project Training	As Needed	Established and Ongoing	Training on PMPs and Project Management Processes and Procedures	DMS II Project Team	DMS II PMO	Meeting	Informational Instructive/ High
Post Implementation Review	At the end of each phase	DD&I	Communicate identified opportunities for improvement in the team execution and process utilization	DMS II Project Team, Key Stakeholders	Project Manager	Email In Person	Informational, Status, Collaboration/ High
Town Hall Meetings	As needed	Throughout the project lifecycle	Informative meetings to provide stakeholders and interested parties an overview of DMS II Project Status.	Stakeholder	DMS II PMO	In-Person	Informational/Status
Implementation Announcements	Start two weeks prior to Go-Live	DD&I	Communicate the defined deliverables, product availability timeline and preparation requirements and activities	All Potential User Populations, Key Stakeholders, Management Groups	Project Manager	email, Adobe Connect, Meeting Minutes on SharePoint (In Development)	Informational, Collaboration/ High

Communications Vehicles

Communication Content	Description	Communication Vehicle(s)
Reports (general)	As a result of various efforts, the Project may publish reports that address specific project issues or activities. For example, at the conclusion of the lessons learned, the project will publish a Lessons Learned Report.	Project Pulse Newsletters (Summation) Email Project Bulletins Project Meetings SharePoint (In Development) Intranet
Meeting Action Items	Specific meeting action items, based on decisions made during DMS II meetings, will be collected and distributed to the stakeholders who are most impacted by the action items.	Project Meetings Email Action Item Log Decision Item Log
Project Issues and Risks	The DMS II Project uses formal tracking and management processes to evaluate and prioritize issues and risks. Issues, risks, mitigation plans, contingency plans, and their resolution will be communicated to stakeholders as necessary to develop and implement appropriate responses.	Risk Log Issue Log Project Meetings
Requests for Customer Feedback	A variety of methods will be used, when necessary, to solicit information from DMS II stakeholders.	Email Focus Groups Interviews Surveys
Frequently Asked Questions (In Development)	The DMS II Project publishes the answers to frequently asked questions concerning Project issues that require broad dissemination to stakeholders.	Intranet Site
Executive Level Project Information	The project will provide executive briefing documents designed to inform executives of project status, documentation of executive decisions, major issues and risks, a 12-month project horizon, stakeholder concerns/issues, leveraging and horizontal integration opportunities, staffing updates, and reports/status of action items.	Executive Briefing Documents

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